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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER
DARNO, PATRICK A

ART UNIT	PAPER NUMBER
2163	

DATE MAILED: 10/06/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>01 September 2006</u>.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-3,5-16,18-29 and 31-39* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-3,5-16,18-29, and 31-39* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *19 August 2003* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

    1.☐ Certified copies of the priority documents have been received.

    2.☐ Certified copies of the priority documents have been received in Application No. _____.

    3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

DETAILED ACTION

1.   Claims 4, 17, and 30 are cancelled. Claims 1, 14, and 27 have been amended.

Claims 2, 10-12, 15, 23-25, 28, and 36-38 are as previously presented. Claims 3, 6-9, 13,

16, 18-22, 26, 29, 31-35, and 39 are in their original form. Claims 1-3, 5-16, 18-29, and

31-39 are pending in this Office Action.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

2.   Claims 1-3, 5-16, 18-29, and 31-39 are rejected under 35 U.S.C. 103(a) as being

unpatentable over U.S. Patent Application Publication Number 2005/0033726 issued to

Ju Wu et al. (hereinafter "Wu") and further in view of U.S. Patent Application

Publication Number 2003/0018605 issued to Gary Willman Policastro et al (hereinafter

"Policastro").

Claim 1:

Wu discloses a method for facilitating data stewardship for metadata in a data

warehouse system, comprising:

creating metadata, under the control of a user, for use in the data warehouse

system *(Wu: paragraph [0035]; Note specifically lines 8-10, "end users employing a metadata consumer*

access business views." This shows that the users access the actual data with the aid of metadata. Then on

lines 13-16 the phrase "At each level, business users responsible for preparing mapped data....". This

preparing of mapped data is the creation of metadata for use in a data warehouse system.);

moving the metadata, under the control of a super user, into and out of a

collection *(Wu: paragraphs [0034] and [0037]; The data foundation is the collection. The word*

administrator as used in this reference is a generic term that includes "regional managers", "data

administrators", and "data managers". This distinction can be made perfectly clear by reading Wu:

paragraph [0037]. Paragraph [0037] shows that the original data foundations are "created by regional

managers". It further shows that data administrators can "add the relevant data connections previously

created". Finally, the definition of a data manager is one who handles, controls, or directs data. Paragraph

[0034] shows that the regional manager (or administrator or super user) creates the data foundation

(collection) by using a GUI to select tables and columns from a variety of data sources. This selecting of

tables and columns from a variety of data sources results in moving metadata into and out of a collection

(data foundation). The data foundation draws its data from columns and tables (normal operation in a

relational database.). The metadata is the data mapping and linking involved in connecting the columns

and tables into a data foundation (or collection).);

assigning, under the control of the super user, a data steward for the collection

(Wu: paragraph [0037] and [0054], lines 1-4; The data stewards are the data managers referred to in

paragraph [0037], line 4. In paragraph [0037] it is important to note that Wu discloses all types of possible

users claimed by the applicant. The regional manager is the super user, the data manager is the data

steward, the data administrators are the collection administrators, and the users are simply the normal

users. And note in paragraph [0054] that the administrators (or regional manager or super user) control

which tables and columns that users can or cannot access. The only characteristic that distinguishes

between administrative users (super users, administrators, data stewards or managers, etc.) and regular

users is the level of access that a given user has to certain data. Since the administrative user here is

allowed to control access to all data, the administrative user can grant or assign a data steward for a given

collection by simply giving the user to be designated data steward the necessary access to the data in a

given collection (or data foundation).);

manipulating, under the control of the data steward, the metadata in the collection,

wherein manipulating the metadata involves securing the metadata and performing

administration operations on the collection *(Wu: paragraph [0080]; Note that it is "possible for*

administrators to create and modify metadata service objects" (performing administrative operations").

The administrator in this case would be the "data manager" (or data steward) given the correct

responsibilities by the overall administrator (regional manager) in order to manage a particular collection

(or data foundation).).

The Examiner is confident that Wu discloses, or at the very least suggests, all of

the elements of the Applicant's claimed invention, as noted above. The Examiner is also

confident that the data manager disclosed in the Wu reference is in fact what the

Applicant refers to as a 'data steward'. It should also be noted for the record that the

administrators (regional manager or super user) disclosed by Wu is able to customize a

given user to have a variety of different access control permissions *(Wu: paragraph [0054])*.

Therefore, one of ordinary skill in the art would assume that it would be obvious to such

an administrator to customize a given user to have the amount of access or permissions

granted as the administrator sees fit.

Furthermore, the Wu reference suggests a method implementing a variety of

different users, which clearly implies that each different user is granted different types of

permissions by the controlling administrator, regional manger, or super user *(Wu:*

paragraph [0037] and paragraph [0054]). There would be no need to give a user a different

title, titles which clearly show a hierarchy of authority, if the access or permissions did

not vary across the group. If all access or permissions granted to each user were the same, each user would have the same title.

But, even in light of the above suggestions, it is important to note that the Wu reference does not explicitly disclose wherein only the data steward can manipulate the metadata in the collection, and wherein manipulating the metadata includes editing and deleting metadata.

However, Policastro discloses wherein only the data steward can manipulate the metadata in the collection *(Policastro: paragraph [0052], lines 1-8)*, and wherein manipulating the metadata includes editing and deleting metadata *(Policastro: page 6, Table 1, Step 3; Note Specifically "Permit the data steward to modify and/or remove decision support code description.")*.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the teachings of Wu with the teachings of Policastro noted above for the purpose of granting the specific authority to a data steward wherein only the data steward can manipulate the metadata in a given collection of data *(Policastro: paragraph [0052], lines 1-8)*. The skilled artisan would have been motivated to improve the teachings of Wu per the above such that a particular data steward is given the responsibility to be a custodian of a particular set of data *(Policastro: paragraph [0030], lines 3-6)*.

Claim 2:

The combination Wu and Policastro discloses all the elements of claim 1, as noted above, and Wu further discloses comprising moving metadata, under the control of a collection administrator, into and out of the collection *(Wu: paragraph [0037]; Note particularly*

lines 13-15 of paragraph [0037] where the data administrator is allowed to modify the relevant data

connections (or metadata) originally set up by the super user (or regional manager).).

Claim 3:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses wherein the data steward includes more than one

individual *(Wu: paragraph [0037], line 4; This uses the plural form of the word "data manager". This*

means that there __must__ be more than one data steward.).

Claim 5:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses wherein the collection is related to a specified

domain *(Wu: paragraph [0037]; Note that the collection (data foundation) is related to geographical*

regions. The domain is a geographical region.).

Claim 6:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses wherein the data steward can be a data steward for

more than one collection *(Wu: paragraph [0054], lines 1-4; The overall administrator controls access*

all collections (data foundation). If the administrator wishes to grant control to multiple collections to one

data manager (or data steward) the administrator can. However, doing so is simply a design choice.).

Claim 7:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses wherein the super user has access to the metadata

within a plurality of collections *(Wu: paragraph [0054], lines 4-7; Note that the overall*

administrator creates the data foundations (has access to collections) for the whole enterprise. Then the

business views of each portion of the enterprise are delegated to other users.).

Claim 8:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses wherein the metadata can include data descriptions

(Wu: paragraph [0005], lines 6-12; This is the very definition of metadata. All metadata is a description

of data.).

Claim 9:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses wherein the metadata can include procedures

related to the data warehouse system *(Wu: paragraphs [0005] and [0011], lines 8-9; The metadata*

is used to deal with how the information is collected and formatted. Further the metadata is used to create

business views allowing reporting and analysis of the information. Using metadata to create reports is a

"procedure" as defined by the applicant in paragraph [0037] of the applicant's specification.).

Claim 10:

The combination of Wu and Policastro discloses all the elements of claim 1, as

noted above, and Wu further discloses comprising:

creating, under the control of the user a new metadata; and

requesting, under the control of the user, that the new metadata be moved to the

collection *(Wu: paragraph [0035] and [0054]; See rejection of claim 1 for further explanation of this*

paragraph. Also note paragraph [0054], lines 1-4 where it is disclosed that the overall administrator grants

access to resources as the administrator sees fit.).

Claim 11:

The combination of Wu and Policastro discloses all the elements of claim 1, as noted above, and Wu further discloses comprising manipulating metadata, under the control of the user, that the user owns and that does not belong to the collection *(Wu: paragraph [0035] and [0054]; Again the overall administrator (or regional director or super user) has the authority to grant permission to a user to access a given set of resources. The access to files is determined by the administrator (or super user) and is a design choice.).*

Claim 12:

The combination of Wu and Policastro discloses all the elements of claim 1, as noted above, and Wu further discloses comprising creating metadata, under the control of the data steward, within a folder in the collection, wherein creating metadata within the folder automatically causes the metadata to be added to the collection *(Wu: paragraph [0035], [0037], and [0054]; Paragraph [0035] discloses allowing a user to create metadata ("business elements", "mapped data", and "metadata consumer access business views"). This is done while editing/creating a data foundation (collection). And this collection must be in a folder (all computer files are in some sort of hierarchical grouping such as a folder). So the edits/additions are created inside a folder and the metadata is added to the collection. For any further explanation of the cited references see preceding rejections.).*

Claim 13:

The combination of Wu and Policastro discloses all the elements of claim 1, as noted above, and Wu further discloses:

wherein only the super user can create/delete a collection;

wherein only the super user can update the collection by moving metadata to/from

the collection *(Wu: paragraphs [0034] and [0037]; See rejection of claim 1 for further explanation of*

these references.).

Claim 14:

Claim 14 is a computer program product claim corresponding to method claim 1

and is rejected under the same reasons set forth in the rejection of claim 1.

Claim 15:

Claim 15 is a computer program product claim corresponding to method claim 2

and is rejected under the same reasons set forth in the rejection of claim 2.

Claim 16:

Claim 16 is a computer program product claim corresponding to method claim 3

and is rejected under the same reasons set forth in the rejection of claim 3.

Claim 18:

Claim 18 is a computer program product claim corresponding to method claim 5

and is rejected under the same reasons set forth in the rejection of claim 5.

Claim 19:

Claim 19 is a computer program product claim corresponding to method claim 6

and is rejected under the same reasons set forth in the rejection of claim 6.

Claim 20:

Claim 20 is a computer program product claim corresponding to method claim 7

and is rejected under the same reasons set forth in the rejection of claim 7.

Claim 21:

The combination of Wu and Policastro discloses all the elements of claim 14, as

noted above, and Wu further discloses wherein more than one data steward can be a data

steward for a specified collection *(Wu: paragraph [0054], lines 1-4; The overall administrator*

controls access to all collections (data foundation). If the administrator wishes to grant control to multiple

collections to multiple data managers (or data stewards) the administrator can. The.administrator would

simply grant necessary access to the individuals the administrator desires to be data managers (or data

stewards). However, doing so is simply a design choice.).

Claim 22:

Claim 22 is a computer program product claim corresponding to method claim 9

and is rejected under the same reasons set forth in the rejection of claim 9.

Claim 23:

Claim 23 is a computer program product claim corresponding to method claim 10

and is rejected under the same reasons set forth in the rejection of claim 10.

Claim 24:

Claim 24 is a computer program product claim corresponding to method claim 11

and is rejected under the same reasons set forth in the rejection of claim 11.

Claim 25:

Claim 25 is a computer program product claim corresponding to method claim 12

and is rejected under the same reasons set forth in the rejection of claim 12.

Claim 26:

Claim 26 is a computer program product claim corresponding to method claim 13

and is rejected under the same reasons set forth in the rejection of claim 13.

Claim 27:

Claim 27 is an apparatus claim corresponding to method claim 1 and is rejected under the same reasons set forth in the rejection of claim 1.

Claim 28:

Claim 28 is an apparatus claim corresponding to method claim 2 and is rejected under the same reasons set forth in the rejection of claim 2.

Claim 29:

Claim 29 is an apparatus claim corresponding to method claim 3 and is rejected under the same reasons set forth in the rejection of claim 3.

Claim 31:

Claim 31 is an apparatus claim corresponding to method claim 5 and is rejected under the same reasons set forth in the rejection of claim 5.

Claim 32:

Claim 32 is an apparatus claim corresponding to method claim 6 and is rejected under the same reasons set forth in the rejection of claim 6.

Claim 33:

Claim 33 is an apparatus claim corresponding to method claim 7 and is rejected under the same reasons set forth in the rejection of claim 7.

Claim 34:

Claim 34 is an apparatus claim corresponding to method claim 8 and is rejected under the same reasons set forth in the rejection of claim 8.

Claim 35:

Claim 35 is an apparatus claim corresponding to method claim 9 and is rejected

under the same reasons set forth in the rejection of claim 9.

Claim 36:

Claim 36 is an apparatus claim corresponding to method claim 10 and is rejected

under the same reasons set forth in the rejection of claim 10.

Claim 37:

Claim 37 is an apparatus claim corresponding to method claim 11 and is rejected

under the same reasons set forth in the rejection of claim 11.

Claim 38:

Claim 38 is an apparatus claim corresponding to method claim 12 and is rejected

under the same reasons set forth in the rejection of claim 12.

Claim 39:

Claim 39 is an apparatus claim corresponding to method claim 13 and is rejected

under the same reasons set forth in the rejection of claim 13.

Response to Arguments

Applicant Argues:

Moreover, although Wu teaches the existence of various types of administrators (see Wu, page 3, paragraph [0037]), Wu does not differentiate between their roles and responsibilities (see Wu, page 4, paragraph [0054], and see Wu, page 8, paragraph [0089]).

Examiner Responds:

Examiner is not persuaded. First, the examiner <u>disagrees</u> with the applicant that

the Wu reference does not differentiate between the roles and responsibilities of the

various types of administrators. Paragraph [0037] of the Wu reference clearly shows

that the original data foundations are "created by regional managers" (Wu: paragraph

[0037], lines 13-15). It further shows that data administrators can "add the relevant data

connections previously created". Finally, by a strict interpretation of the definition of a

data manager, one of ordinary skill in the art realizes that a data manager is one who

handles, controls, or directs data.

Furthermore, paragraph [0034] shows that the regional manager (or

administrator or super user) creates the data foundation (data collection) by using a GUI

to select tables and columns from a variety of data sources. This selecting of tables and

columns from a variety of data sources is precisely what the applicant refers to as

moving metadata into and out of a collection (data foundation).

To appropriately clarify the comparison of the different types of administrators,

the examiner has mapped each of the administrators described by Wu with each of the

users disclosed by the applicant. The examiner asserts that the regional manager is the

super user, the data manager is the data steward, and the data administrators are the

collection administrators. It is important to note for the record that the applicant has not

disagreed with this assertion of the examiner, which was clearly laid out in the

examiner's non-final office action.

The examiner further points out that in paragraph [0054] the administrators (or

regional manager or super user) control which tables and columns that users can or

cannot access. The characteristic that clearly distinguishes between administrative users

(super users, administrators, data stewards or managers, etc.) and regular users is the

level of access that a given user has to certain data. Since the administrative user here is

allowed to control access to all data, the administrative user can grant or assign a data

manager (data steward) for a given collection by simply giving the user to be designated

data manager (data steward) the necessary access to the data in a given collection (or

data foundation).

Because the examiner believes that the Wu reference does in fact differentiate

between the roles of the different administrators, as discussed above, the examiner has

decided to maintain the 35 U.S.C. 102(e) rejections given to claims 1-39.

Applicant Argues:

Furthermore, the present invention teaches a super user granting permission to a data
steward to manipulate the metadata and administer the collections.

Examiner Responds:

Examiner is not persuaded. Examiner respectfully directs the Applicant to

paragraph [0054] of the Wu reference that clearly shows that the administrators (or

regional manager or super user) control which tables and columns that users can or

cannot access. This is clearly the granting of permissions by an overall administrator

(super user or regional director) to another user. The only characteristic that

distinguishes between administrative users (super users, administrators, data stewards

or managers, etc.) and regular users is the level of access that a given user has to certain

data. Since the administrative user here is allowed to control access to all data, the

administrative user can grant or assign a data steward for a given collection by simply

giving the user to be designated data steward the necessary access to the data in a given

collection (or data foundation).

Applicant Argues:

Moreover, a user who is not a data steward cannot manipulate metadata.

Examiner Responds:

After further consideration, the Examiner admits that the Wu reference does not

explicitly make a statement in writing that states that any user, which is not a data

steward or data manager, cannot manipulate metadata. However, the Examiner

believes that this feature of the Applicant's claimed invention would have been obvious

to one of ordinary skill in the art at the time the invention was made. For further

explanation, see the 35 U.S.C. 103(a) rejection of claim 1 which is given above.

Contact Information

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Patrick A. Darno whose telephone number is (571) 272-

0788. The examiner can normally be reached on Monday - Friday, 9:00 am - 5:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Don Wong can be reached on (571) 272-1834. The fax phone number for the

organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

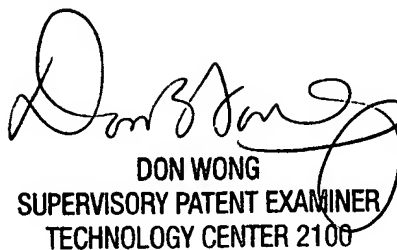published applications may be obtained from either Private PAIR or Public PAIR. Status

information for unpublished applications is available through Private PAIR only. For

more information about the PAIR system, see http://pair-direct.uspto.gov. Should you

have questions on access to the Private PAIR system, contact the Electronic Business

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Customer Service Representative or access to the automated information system, call

800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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